

DECLARATION AND POWER OF ATTORNEY FOR ORIGINAL U.S. PATENT APPLICATION

Attorney's Docket No. **NFC1P039CIP**

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHOD AND APPARATUS FOR AN OPTICAL FILTER** the specification of which,

(check one)

1. ☒ is attached hereto.

2. ☐ was filed on _____ as

U.S. Application No. _____

and was amended on _____

3. ☐ was filed on _____ as

International PCT Application No. _____

and was amended on _____

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, CFR § 1.56.

Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Priority Benefits Claimed?

Yes ___ No ___

(Application No.)

(Country)

(Filing Date)

Yes ___ No ___

(Application No.)

(Country)

(Filing Date)

Provisional Application(s)

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

60/303,705
(Application No.)

July 5, 2001
(Filing Date)

(Application No.)

(Filing Date)

(Application No.)

(Filing Date)

Atty. Dkt. No.: **NFC1P039CIP**

Page 1 of 3

(Revised 3/29/99)

Prior U.S. Application(s)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>09/879,026</u>	<u>June 11, 2001</u>	
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)
<u></u>	<u></u>	<u></u>
(Application No.)	(Filing Date)	(Status - patented, pending, abandoned)

Power of Attorney

And I hereby appoint Charles C. Cary, Reg. No. 36, 764 ; Robert H. Kelly, Reg. No. 33,922, all of the law firm of CARY & KELLY, LLP, 1875 Charleston Road, Mountain View, California, 94043, and all practitioners who are associated with this firm as my principal attorneys, and Joseph T. FitzGerald, Reg. No. 33,881 of NEW FOCUS, INC. to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Direct Correspondence To:

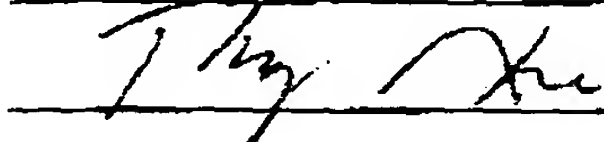
CARY & KELLY, LLP
1875 Charleston Road
Mountain View CA, 94043

Direct Telephone Calls To:

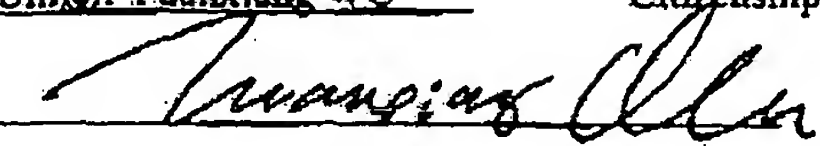
Charles C. Cary at telephone number (650) 533.4844

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

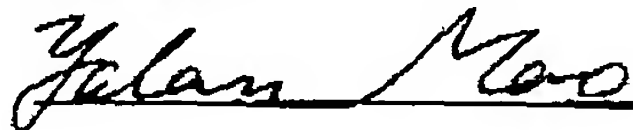
I hereby grant the above appointed attorneys the right to insert the U.S. Patent Application number and filing date where space is provided above at any time subsequent to the date of the inventor's signature below.

Typewritten Full Name of**Sole or First Inventor:**Ping XIE**Citizenship:**US**Inventor's signature:****Date of Signature:**8/31/01**Residence:****(City)**San Jose**(State/Country)**CA/USA**Post Office Address:**1272 Chessington Drive, San Jose CA 95131


Full Name of Second Joint

Inventor (if any): Simon Yuanxiang WU Citizenship: People's Republic of ChinaInventor's signature: Date of Signature: 08/31/2001Residence: (City) San Jose (State/Country) CA/USAPost Office Address: 2615 Heritage Park Circle, San Jose, CA 95132

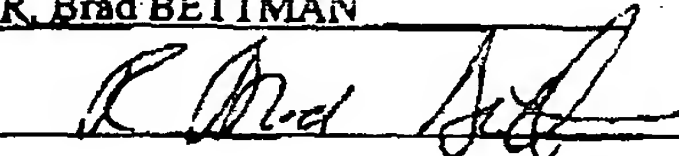
Full Name of Third Joint

Inventor: Yalan MAO Citizenship: USInventor's signature: Date of Signature: 08/31/2001Residence: (City) Cupertino (State/Country) CA/USAPost Office Address: 11620 Wildflower Court, Cupertino, CA 95014

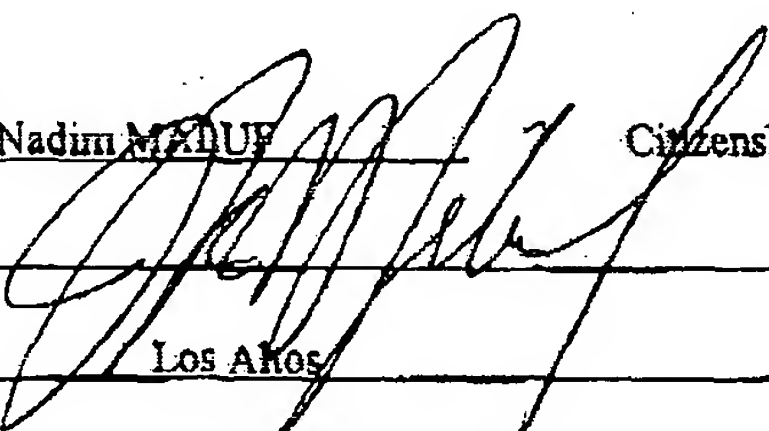
Full Name of Fourth Joint

Inventor: Wei WANG Citizenship: People's Republic of ChinaInventor's signature: Date of Signature: 08/31/01Residence: (City) San Jose (State/Country) CA/USAPost Office Address: 1291 Starglo Place, San Jose, CA 95131

Full Name of Fifth Joint

Inventor: R. Brad BETTMAN Citizenship: USInventor's signature: Date of Signature: 8/31/01Residence: (City) Mountain View (State/Country) CA/USAPost Office Address: 415 Bush Street, Mountain View, CA 94041

Full Name of Sixth Joint

Inventor: Nadim MADUE Citizenship: USInventor's signature: Date of Signature: 8/31/2001Residence: (City) Los Altos (State/Country) CA/USAPost Office Address: 510 Casita Way, Los Altos, CA 94022

EXPRESS MAILING LABEL NO. EV 319 304 024 US

PATENT APPLICATION
Docket No: 15436.249.9.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Ping Xie et al.

Serial No.: 09/944,037

Filing Date: August 31, 2001

Confirmation No.: 6184

For: METHOD AND APPARTUS FOR AN OPTICAL FILTER

Art
Unit
2874

REVOCATION AND SUBSTITUTE
POWER OF ATTORNEY AND
STATEMENT UNDER 37 CFR 3.73(b)

Honorable Commissioner of Patents
and Trademarks
Washington, DC 20231

Sir:

I, Frank H. Levinson, state that I am Chairman of the Board of Finisar Corporation and that I am authorized to execute this Revocation and Substitute Power of Attorney on behalf of Finisar Corporation.

I further state that Finisar Corporation is the assignee of the entire interest of the above-identified patent or patent application as shown by the assignment(s) recorded in the U.S. Patent and Trademark Office at the Reel and Frame identified in Exhibit A; The assignee, Finisar Corporation, hereby revokes all previous powers of attorney in the above-identified application, which is included in the schedule of U.S. Patents and Patent Applications of Exhibit B, and now hereby appoints all attorneys under customer number:



PATENT TRADEMARK OFFICE


of WORKMAN, NYDEGGER & SEELEY, 1000 Eagle Gate Tower, 60 East South Temple, Salt Lake City, Utah 84111, as attorneys with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the Letters Patent, and to transact all business in the Patent and Trademark Office connected therewith.

All correspondence and telephonic communication should be directed to:

ERIC L. MASCHOFF
WORKMAN, NYDEGGER & SEELEY
1000 Eagle Gate Tower
60 East South Temple
Salt Lake City, Utah 84111

This Revocation and Substitute Power of Attorney and Statement Under 37 CFR 3.73(b) is effective for all of the U.S. Patents and Patent Applications of Exhibit B, and shall be filed at the U.S. Patent & Trademark Office in all of said U.S. Patents and Patent Applications.

Signed this 28 day of MAY, 2003.


Frank H. Levinson
Finisar Corporation
1308 Moffet Park Drive
Sunnyvale, California 94089



UNITED STATES
PATENT AND
TRADEMARK OFFICE

RECEIVED

SEP 16 2002

FISH & RICHARDSON, P.C.
NEW YORK CITY OFFICE

13837-026001

~~RPP~~
PAL

SEPTEMBER 07, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

FISH & RICHARDSON P.C.
PAUL A. LEVY
45 ROCKEFELLER PLAZA, SUITE 2800
NEW YORK, NY 10111



102152196A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/25/2002

REEL/FRAME: 013056/0335
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
NEW FOCUS, INC.

DOC DATE: 05/10/2002

ASSIGNEE:
FINISAR CORPORATION
1308 MOFFETT PARK DRIVE
SUNNYVALE, CALIFORNIA 94089-1133

SERIAL NUMBER: 09944593 ✓
PATENT NUMBER:

FILING DATE: 08/31/2001
ISSUE DATE:

SERIAL NUMBER: 09658854 ✓
PATENT NUMBER:

FILING DATE: 09/08/2000
ISSUE DATE:

SERIAL NUMBER: 09617790 ✓
PATENT NUMBER:

FILING DATE: 07/18/2000
ISSUE DATE:

SERIAL NUMBER: 09879026 ✓
PATENT NUMBER:

FILING DATE: 06/11/2001
ISSUE DATE:

Reviewed By Practice Systems
Initials: <u> </u>
Reviewed By Billing Secretary
Initials: <u> </u>

013056/0335 PAGE 2

SERIAL NUMBER: 09944037 ✓
PATENT NUMBER:

FILING DATE: 08/31/2001
ISSUE DATE:

SERIAL NUMBER: 09458869 ✓
PATENT NUMBER:

FILING DATE: 12/10/1999
ISSUE DATE:

SERIAL NUMBER: 09659903 ✓
PATENT NUMBER:

FILING DATE: 09/12/2000
ISSUE DATE:

SERIAL NUMBER: 09792920 ✓
PATENT NUMBER:

FILING DATE: 02/26/2001
ISSUE DATE:

SERIAL NUMBER: 09687574 ✓
PATENT NUMBER:

FILING DATE: 10/13/2000
ISSUE DATE:

SERIAL NUMBER: 09713634 ✓
PATENT NUMBER:

FILING DATE: 11/14/2000
ISSUE DATE:

SERIAL NUMBER: 09507119 ✓
PATENT NUMBER:

FILING DATE: 02/17/2000
ISSUE DATE:

SERIAL NUMBER: 09612068 ✓
PATENT NUMBER:

FILING DATE: 07/07/2000
ISSUE DATE:

SERIAL NUMBER: 09471583 ✓
PATENT NUMBER:

FILING DATE: 12/22/1999
ISSUE DATE:

SERIAL NUMBER: 09900092 ✓
PATENT NUMBER:

FILING DATE: 07/05/2001
ISSUE DATE:

SERIAL NUMBER: 09617736 ✓
PATENT NUMBER:

FILING DATE: 07/17/2000
ISSUE DATE:

SERIAL NUMBER: 09660258 ✓
PATENT NUMBER:

FILING DATE: 09/12/2000
ISSUE DATE:

SERIAL NUMBER: 09972517 ✓
PATENT NUMBER:

FILING DATE: 10/05/2001
ISSUE DATE:

SERIAL NUMBER: 10042935 ✓
PATENT NUMBER:

FILING DATE: 01/09/2002
ISSUE DATE:

SERIAL NUMBER: 10075333 ✓
PATENT NUMBER:

FILING DATE: 02/14/2002
ISSUE DATE:

SERIAL NUMBER: 09941474 ✓
PATENT NUMBER:

FILING DATE: 08/28/2001
ISSUE DATE:

SERIAL NUMBER: 09900713 ✓
PATENT NUMBER:

FILING DATE: 07/05/2001
ISSUE DATE:

SERIAL NUMBER: 09702280 ✓
PATENT NUMBER:

FILING DATE: 10/30/2000
ISSUE DATE:

013056/0335 PAGE 3

SERIAL NUMBER: 09479455
PATENT NUMBER:

FILING DATE: 01/06/2000
ISSUE DATE:

SERIAL NUMBER: 09135083
PATENT NUMBER: 6049426

FILING DATE: 08/17/1998
ISSUE DATE: 04/11/2000

SERIAL NUMBER: 09383591
PATENT NUMBER: 6052228

FILING DATE: 08/26/1999
ISSUE DATE: 04/18/2000

SERIAL NUMBER: 09432382
PATENT NUMBER: 6285499

FILING DATE: 10/29/1999
ISSUE DATE: 09/04/2001

SERIAL NUMBER: 09365680
PATENT NUMBER: 6282025

FILING DATE: 08/02/1999
ISSUE DATE: 08/28/2001

SERIAL NUMBER: 09702538
PATENT NUMBER: 6331913

FILING DATE: 10/30/2000
ISSUE DATE: 12/18/2001

SERIAL NUMBER: 09702279
PATENT NUMBER: 6373631

FILING DATE: 10/30/2000
ISSUE DATE: 04/16/2002

SERIAL NUMBER: 09502973
PATENT NUMBER: 6363190

FILING DATE: 02/11/2000
ISSUE DATE: 03/26/2002

SERIAL NUMBER: 09281743
PATENT NUMBER: 6212008

FILING DATE: 03/30/1999
ISSUE DATE: 04/03/2001

SERIAL NUMBER: 09473774
PATENT NUMBER: 6373604

FILING DATE: 12/29/1999
ISSUE DATE: 04/16/2002

SERIAL NUMBER: 09186751
PATENT NUMBER: 6175448

FILING DATE: 11/05/1998
ISSUE DATE: 01/16/2001

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

PATENT ASSIGNMENT AGREEMENT

WHEREAS, the undersigned, New Focus, Inc., a Delaware corporation, having a place of business at 5215 Hellyer Avenue, San Jose, California 95138 (the "Assignor") is the owner of the entire rights, title and interest in the patent properties listed on Schedule A (the "Assigned Patent Properties"); and

WHEREAS, Finisar Corporation, a Delaware corporation, having a place of business at 1308 Moffett Park Drive, Sunnyvale, California 94089 (the "Assignee"), is desirous of acquiring the Assigned Patent Properties and any rights in the Assigned Patent Properties for the good and valuable consideration set forth in that Intellectual Property Agreement by and between Assignor and Assignee dated May 10, 2002;

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by Assignor to have been received in full from Assignee:

1. Effective upon execution, Assignor does hereby sell, assign, transfer and convey unto Assignee, all of its rights, title and interest together with the benefits and privileges in and to all inventions and discoveries set forth in the Assigned Patent Properties.
2. Assignor hereby covenants and agrees to cooperate with Assignee to enable Assignee to obtain, sustain, enforce and enjoy to the fullest extent all rights, title and interest herein conveyed in any country. Such cooperation by Assignor shall include production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed reasonably necessary or desirable by Assignee, (a) for perfecting in Assignee the rights, title and interest herein conveyed; (b) for filing and prosecuting substitute, divisional, continuing or additional applications covering the Assigned Patent Properties; (c) for filing and prosecuting applications for re-issuance of any of the Assigned Patent Properties; (d) for interference or other priority proceedings involving the Assigned Patent Properties; and (e) for legal proceedings involving the Assigned Patent Properties for infringement actions and court actions; provided, however, that the expense incurred by Assignor in providing such cooperation shall be paid for by Assignee. In the event that Assignee is unable for any reason to secure Assignor's signature to any document required to apply for or execute any patent applications or patents (including improvements, renewals, extensions, continuations, divisions or continuations in part thereof), Assignor hereby irrevocably designates and appoints Assignee and its duly authorized officers and agents as Assignor's agent and attorney-in-fact to act for and in their behalf, and instead of Assignor, to execute and file any such applications and to do all other lawfully permitted acts to further the perfection, prosecution and issuance of patents or other rights therein with the same legal force and effect as if executed by Assignor.
3. Assignor warrants that they have not knowingly conveyed and shall not convey to others any rights in said inventions, discoveries, applications, patents or Assigned Patent Properties; and warrants that they have good right to assign the same to Assignee without encumbrance.
4. The terms and covenants of this Patent Assignment Agreement shall inure to the benefit of Assignee, its successors and assigns, and shall be binding upon Assignor and its successors and assigns.

IN WITNESS WHEREOF, Assignor has executed and delivered this instrument to Assignee effective the
10th day of May, 2002.

ASSIGNOR: New Focus, Inc.

Today's
Date: 10 May 2002

By: [Signature]
Title: Vice President, Operations

STATE OF CALIFORNIA)
COUNTY OF Santa Clara) ss.

On May 10, 2002 before me, Carol Burke, Notary Public, personally
appeared Nordin Matus, personally known or proved to me on the basis of
satisfactory evidence to be the person whose name is subscribed to the within instrument and
acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the
instrument.

Witness my hand and official seal.

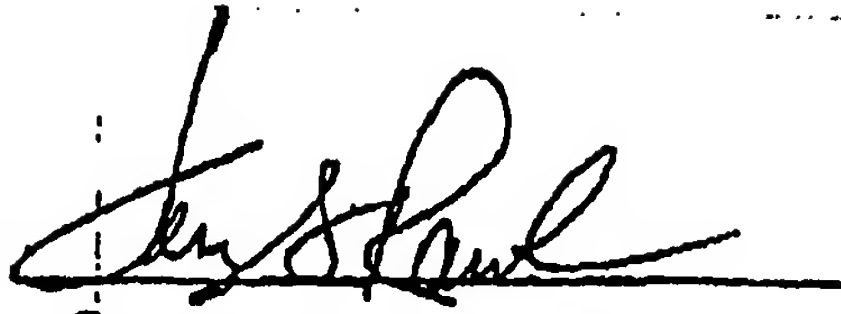
Notary Public

Carol Burke



ASSIGNEE: Finisar Corporation

By:



Title: President & CEO

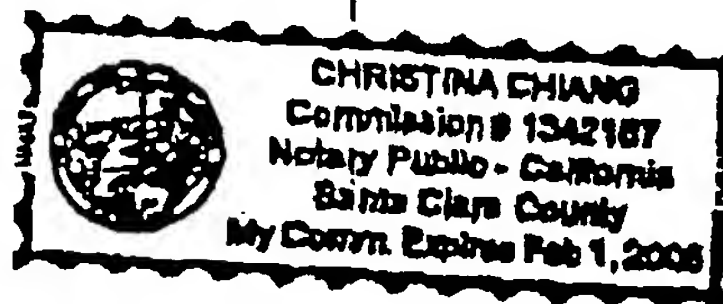
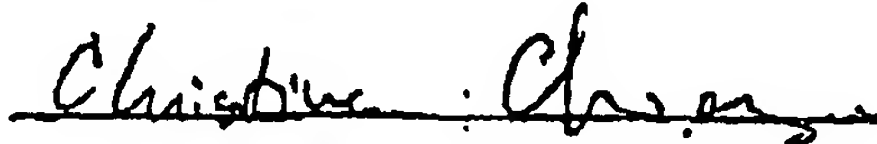
STATE OF CALIFORNIA)

COUNTY OF Santa Clara) ss.

On June 5, 2002 before me, Christina Chiang, Notary Public, personally appeared Terry Pauls, personally known or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

Notary Public



Schedule A

Assigned Patent Properties

Passives IP
US Patents
Patent #

Title

Inventors

Patent
Issue
Date

Responsible Firm
and Attorney

Status

6,049,426 (10629-725)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/11/00	WSGR, David Abraham	Maintenance Fee due 10/11/2003
6,052,228 (10629-789)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/18/00	WSGR, David Abraham	Maintenance Fee due 10/18/2003
6,175,448 (10629-729)	Optical Circulators Using Beam Angle Turners	Ping Xie, Yonglin Huang	01/16/01	WSGR, David Abraham	Maintenance Fee due 07/16/2004
6,212,008 (10629-765)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/03/01	WSGR, David Abraham	Maintenance Fee due 10/03/2004
6,282,025 (NFC-00- 001)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	08/28/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 02/28/05
6,285,499 (10829-792)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	09/04/01	WSGR, David Abraham	Maintenance Fee due 03/04/2005
6,331,913 (NFC-00- 017)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	12/18/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 08/18/2005
6,363,190 (NFC-99- 007)	Polarization Insensitive Fused Fiber Coupler Method and Apparatus	Peter Chen	03/26/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 09/26/2005
6,373,631 (NFC-00- 018)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	04/16/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 10/16/2005

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1060441-801910

5,373,604 (NFC1P016)	Optical MUX/DEMUX	Ping Xie	04/16/02	Cary & Kelly, Charles Cary	Maintenance Fee due 10/16/2005
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US Patent Applications Filed
Identification # Title

		Inventors	Date Filed	Application #	Responsible Firm and Attorney
NFI0032 (10629-789)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang	07/01/99	09/346,639	WSGR, David Abraham
NFI0042US (5717-01100)	Integrated Isolator Fused Coupler Method and Apparatus	Ping Xie, Yonglin Huang, Peter Chen	12/10/99	09/458,868	Conley, Rose & Tayon, Noel Kivlin
NFCS-99-004	Microbend Fused Fiber Coupler Method and Apparatus	Peter Chen	12/22/99	09/471,583	Sierra Patent Group, Tim Brisson
NFC1P016X1	Passive Thermal Stabilization For An Optical MUX/DEMUX	Ping Xie	01/06/00	09/478,455	Cary & Kelly, Charles Cary
NFCS-99-005	Thermal Compensated Compact Bragg Grating Filter	Peter Chen	02/17/00	09/507,119	Sierra Patent Group, Tim Brisson
NFCS-99-003	A Miniature Dense Wavelength Division Multiplexer Using Microbend Couplers	Peter Chen	07/07/00	09/612,068	Sierra Patent Group, Tim Brisson
NFCS-00-011	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sai Tiscareno	07/17/00	09/617,736	Sierra Patent Group, Tim Brisson
NFC1P018	Method and Apparatus for Compensating an Optical Filter	Brad Bekman, Ping Xie, Peter Chen	07/18/00	09/617,790	Cary & Kelly, Charles Cary
NFC1P028	A Method And Apparatus For Parallel Optical Processing	Ping Xie, Sai Tiscareno	09/12/00	09/659,803	Cary & Kelly, Charles Cary
NFCS-00-012	Improved Polarization Beam Combiner/Splitter	Ping Xie, Tim Day	09/12/00	09/660,258	Sierra Patent Group, Tim Brisson
10629-794	Optical Circulators Using Beam Angle Turners	Ping Xie, Yonglin Huang	09/08/00	09/658,854	WSGR, David Abraham

NFCS-00-016	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	10/30/00	09/702,280	Sierra Patent Group, Tim Brisson	Reply to Office Action due 07/09/02
NFI0032 CNT (10629-795)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang	10/13/00	09/687,574	WSGR, David Abraham	Reply to Office Action due 07/10/2002
NFCS-00-013	Precision Optical Filter With A Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/14/00	09/713,634	Sierra Patent Group, Tim Brisson	N/A
NFC1P028X1	A Method And Apparatus For Parallel Optical Processing For Dual Port Devices	Ping Xie, Sal Tiscareno	02/26/01	09/792,920	Cary & Kelly, Charles Cary	N/A
NFC1P039	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matuf	06/11/01	09/879,026	Cary & Kelly, Charles Cary	N/A
NFI0096U (NFCS-00-020, NFCS-01-025)	Dual-Stage Optical Isolator Minimized Polarization Mode Dispersion And Simplified Fabrication Process	Yonglin Huang, Liren Du, Meng Ma, Shuyun Huang	07/05/01	09/900,082	Sierra Patent Group, Tim Brisson	N/A
NFI0095U (5717-01301)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	07/05/01	09/800,091	Conley, Rose & Tayon, Noel Kivlin	N/A
NFCS-00-014	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	07/05/01	09/800,713	Sierra Patent Group, Tim Brisson	N/A
NFC1P039C1 P	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Matuf	08/31/01	09/944,037	Cary & Kelly, Charles Cary	N/A
NFCS-01-027	Method And Apparatus For Precision Tuning An Optical Filter Using A Ball-End Joint	Kevin Zhang, Ping Xie	08/28/01	09/841,474	Sierra Patent Group, Tim Brisson	Foreign Filing due 08/28/02
10629-802	Compact Polarization Insensitive Circulators with Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/31/01	09/944,593	WSGR, David Abraham	Received Notice of Publication 03/12/2002, Pub. No. US-2002-0024729-A1

NFI0130US (50923-2000-200)	Mismatched Mode Field Diameter Device	Ping Xie, Kevin Zhang	10/05/01	09/972,517	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0131U (50923-2000-100)	Integrated Pump Combining Module	Ping Xie	10/05/01	09/972,527	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0085 (5717-01601)	Fiber Optical Devices With Extra High Power Handling Capability	Yonglin Huang, Kevin Zhang, Ping Xie	01/09/02	10/042,935	Conley, Rose & Tayon, Noel Kvlin	N/A
NFI0069 (5717-01401)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02	10/075,333	Conley, Rose & Tayon, Noel Kvlin	N/A

Foreign Applications Filed

Responsible Firm and Attorney

10629-785	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion (also covers Circulators Using Beam Angle Turners)	Ping Xie, Yonglin Huang	08/17/99	PCT/US99/18739	PCT Application	WSGR, David Abraham	Application filed in Japan and Europe
10629-800 P010800EP MJH	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/17/98	99942271.0	European Application	WSGR, David Abraham	N/A
10629-799	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang		2000-565436	Japanese Application	WSGR, David Abraham	N/A
10629-790	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	10/12/99	PCT/US99/23759	PCT Application	WSGR, David Abraham	Application filed in Europe
P011386EP MJH ZXM	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	05/11/01	99969250.2 (PCT/US99/23759)	European Application	D. Young & Co., Miles Haines	Annually due Oct. 2002
NFC1P016W Q	Optical MUX/DEMUX	Ping Xie	09/27/00	PCT/US00/41022	PCT Application	D. Young & Co., Miles	N/A

P011438EP MJH ZXM	Optical MUX/DEMUX	Ping Xie	05/08/01	00892467.1 PCT/US00/41022	European Application	Haines	Annuity due Sep. 2002
5717-01101 (NFCS-99- 008PCT)	Integrated Isolator Fused Coupler Method And Apparatus	Ping Xie, Yonglin Huang, Peter Chen	12/05/00	PCT/US00/33051	PCT Application	Conley, Rose & Tayon, Noel Kivlin	National Phase filing due 06/10/02
NFI0051PCT (NFCS-00- 011PCT)	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sal Tiscareno	07/17/01	PCT/US01/22762	PCT Application	Sierra Patent Group, Tim Brisson	File response to opinions if any by 08/17/02; Ch. II, National Phase Filing due 1 month, 12/17/02
NFI0058PCT (NFCS-99- 013PCT)	Precision Optical Filter With Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/09/01	PCT/US01/51189	PCT Application	Sierra Patent Group, Tim Brisson	Correct Defects due 05/04/2002; Ch. II Demand due 06/14/02; File response to opinions if any by 12/14/02
NFCS-00- 014PCT	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	10/05/01	PCT/US01/31680	PCT Application	Sierra Patent Group, Tim Brisson	Ch. II Demand due 05/13/02; File response to opinions if any by 11/13/02

NFI0095U (5717-01302) (NFCS-01-024)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	01/10/02	PCT/US02/00801	PCT Application	Conley, Rose & Tayon, Noel Kivlin	Ch. II Demand due 08/10/02; if Ch. II Demand not filed then National Phase filing due 09/10/02
NFC1P039CI PWO	Method And Apparatus For An Optical Filter	Ping Xia, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Maluf	02/08/02	PCT/US02/03717	PCT Application	Cary & Kelly, Charles Cary	Ch. II Demand due 09/14/02; if Ch. II Demand not filed then National Phase filing due 10/14/02
NFI0069PCT (5717-01402) (NFCS-01-025P)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02	PCT/US02/04215	PCT Application	Conley, Rose & Tayon, Noel Kivlin	Ch. II Demand due 09/14/02; if Ch. II Demand not filed then National Phase filing due 10/14/02

Provisional Applications

NFC1P039P	Low Dispersion, Low Channel Cross-Talk Interleaver	Ping Xia, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman	07/05/01	60/303,706	Provisional Application	Cary & Kelly Charles Cary
NFI0150P (50923-3000-500)	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zhang	03/15/02	Not yet assigned	Provisional Application	MOFO, Steve Durant

Invention Disclosures

NFI0148 (NFC1P039X t)	Method And Apparatus For An Optical Multiplexer And Demultiplexer With An Optical Processing Loop	Ping Xie, Simon Wu, Haisheng Rong, Kevin Zheng, Yalan Mao, Wei Wang, Brad Bettman	Disclosure (application has been drafted)	Cary & Kelly, Charles Cary	May want to claim priority to Provisional 60/303,705 filed 07/05/01 or Utility 09/879,028 filed 08/11/01 and 09/944,037 filed 08/31/01
NFI0150 (50923-2000- 500	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zhang, Liren Du	Disclosure (application has been drafted)	MOFO, Steve Durant	Will want to claim priority to Provisional filed on 03/15/02
NFI0182	Hybrid Cell	Tengda Du, Xin Luo, Ping Xie, Evan Green	Disclosure		
NFI0163	PM Coupler	Jian He, Ping Xie	Disclosure		
NFI0164	PDL Loop	Jian He, Ping Xie, Chester Chien	Disclosure		
NFI0165	High Channel Isolation WDM	Zhicheng Li, Yingsong Wang	Disclosure		
NFI0166	Array PBC	Qi Deng, Liren Du, Shuqing (Mary) Ma, Bing Zhang, Xiwen Wang, Yonglin Huang	Disclosure		
NFI0167	OADM and Array OADM	Liren Du, Xiwen Wang, Bing Zhang, Qi (Brian) Deng, Shuqing (Mary) Ma, Yonglin Huang	Disclosure		

NF10168	Optical Polarization Beam Combiner and Isolator Array Polarization Beam Combiner and Isolator	Qi (Brian) Deng, Xiwen Wang, Bing Zhang, Liren Du, Shuqing (Mary) Ma, Yonglin Huang	Disci sure		
NF10169	Collimator with Ball-Joint for Better Optical Alignment and Bonding	Qi (Brian) Deng	Disclosure		